

NOV 15 2005

Atty Docket No. 021819-000130US

PTO FAX NO.: 1-571-273-8300

ATTENTION: Examiner A. Wehbe

Group Art Unit 1653

**OFFICIAL COMMUNICATION**  
**FOR THE PERSONAL ATTENTION OF**  
**EXAMINER A. Wehbe**

**CERTIFICATION OF FACSIMILE TRANSMISSION**

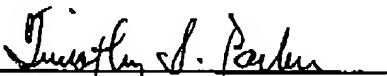
I hereby certify that the following documents in re Application of Steven W. Dow, et al., Application No. 10/780,114, filed February 17, 2004 for SYSTEMIC IMMUNE ACTIVATION METHOD USING NUCLEIC ACID-LIPID COMPLEXES are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Documents Attached

1. Form PTO/SB/21
2. Power of Attorney and Correspondence Address Indication Form
3. Statement Under 37 CFR 3.73(b)
4. Copy of Assignment (not for recordation)

Number of pages being transmitted, including this page: 6

Dated: November 15, 2005

  
Timothy S. Parker

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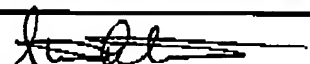
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, CA 94111-3834  
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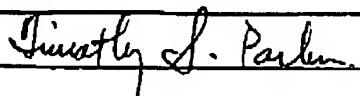
NOV 15 2005

PTO/SB/21 (09-04)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/780,114
	Filing Date	February 17, 2004
	First Named Inventor	Dow, Steven W.
	Art Unit	1853
	Examiner Name	A. Wehbe
	Attorney Docket Number	021819-000130US
Total Number of Pages in This Submission	5	

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Statement under 37 CFR 3.73(b), copy of Assignment
Remarks: The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Townsend and Townsend and Crew LLP		
Signature			
Printed name	Steven C. Petersen		
Date	November 15, 2005	Reg. No.	36,238

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office, Fax No. 1-571-273-8300 on November 15, 2005.			
Signature			
Typed or printed name	Timothy S. Parker	Date	November 15, 2005

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PTO/SB/81 (04-05)

<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	10/780,114
	Filing Date	February 17, 2004
	First Named Inventor	Dow, Steven W.
	Title	SYSTEMIC IMMUNE ACTIVATION METHOD USING NUCLEIC ACID- LIPID COMPLEXES
	Art Unit	1653
	Examiner Name	A. Wehbe
	Attorney Docket Number	021818-000130US

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number:

20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:


OR

<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone	Email		

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71:  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Signature		Date	10/28/15
Name	Gary Amato	Telephone	970/482-2916
Title and Company	Director of Technology Transfer, Colorado State University Research Foundation		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of \_\_\_\_\_ forms are submitted.

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NOV 15 2005

PTO/SB/66 (09-04)

Attorney Docket No. 021819-000130US

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Steven W. Dow, et al.Application No./Patent No.: 10/780,114Filed/Issue Date: February 17, 2004Entitled: **SYSTEMIC IMMUNE ACTIVATION METHOD USING NUCLEIC ACID-LIPID COMPLEXES**Colorado State University Research Foundation, a not-for-profit Colorado corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

Gary Amato

Printed or Typed Name

Director of Technology Transfer

Title

10/28/05  
Date970/482-2916  
Telephone Number

Not For Recordation

Attorney Docket No.: 021819-000130US  
Client Reference No.: JUV2879.54-3

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Steven W. Dow having a residence address of 8 Blue Grouse Ridge Rd., Littleton, Colorado 80127, hereinafter referred to as "Assignor," is a co-inventor of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SYSTEMIC IMMUNE ACTIVATION METHOD  
USING NUCLEIC ACID-LIPID COMPLEXES

Date(s) of execution of Declaration: August 4, 2004 and June 29, 2004

Filing Date: February 17, 2004

Application No.: 10/780,114; and

WHEREAS, Colorado State University Research Foundation, a not-for-profit corporation of the state of Colorado, located at P.O. Box 483, Fort Collins, CO 80522, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same pursuant to their exclusive license agreement;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignor, Assignor has assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignor had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignor further agrees that he will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of

## Assignment

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transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has signed his name on the date indicated.

Dated: Oct 27, 2005

Steven W. Dow  
Steven W. Dow

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State of Colorado     )  
                              ) ss.:  
County of Larimer     )

Before me this 27<sup>th</sup> day of October, 2005, personally appeared Steven W. Dow who is personally known or proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be his free act and deed.

Dee Marie Kammerer  
Notary Public

4-9-2008  
My commission expires